A/65/34*

United Nations

Report of the Joint Inspection Unit for 2010 and programme of work for 2011

General Assembly
Official Records
Sixty-fifth Session
Supplement No. 34*

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United Nations • New York, 2011

* Reissued for technical reasons on 23 February 2011.

Note

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ISSN 0255-1969

[25 January 2011]

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Abbreviations

CEB	United Nations System Chief Executives Board for Coordination
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ICT	information and communications technology
IIA	Institute of Internal Auditors
ILO	International Labour Organization
IMO	International Maritime Organization
IT	information technology
ITC	International Trade Centre
ITU	International Telecommunication Union
UNCTAD	United Nations Conference on Trade and Development
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNIFIL	United Nations Interim Force in Lebanon
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UPU	Universal Postal Union
UNWTO	United Nations World Tourism Organization

WFP	**World Food Programme**
WHO	**World Health Organization**
WIPO	**World Intellectual Property Organization**
WMO	**World Meteorological Organization**

Mission statement

As the only independent external oversight body of the United Nations system mandated to conduct evaluations, inspections and investigations system-wide, the Joint Inspection Unit aims:

(a) To assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management by the secretariats of human, financial and other resources;

(b) To help improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations;

(c) To promote greater coordination among the organizations of the United Nations system;

(d) To identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

Preface by the Chairman

In accordance with article 10, paragraph 1, of the statute of the Joint Inspection Unit, I am pleased to submit this annual report, which contains an account of the activities of the Unit for the period from 1 January to 31 December 2010 and a description of its programme of work for 2011.

The JIU programme of work for 2010 fully complied with the required focus on system-wide issues, with eight system-wide topics out of 10 projects, the strongest proportion ever decided, implying a much more demanding programme in terms of resources.

By the end of 2010, the Joint Inspection Unit had completed ten reports and one management letter which are addressed to the legislative bodies and executive heads of participating organizations for action. Nine of the reports were of a system-wide nature and one was a "single organization" review covering the management and administration of the United Nations Office on Drugs and Crime (UNODC).

The Unit, however, was unable to fully implement the expected accomplishments in the medium term of its strategic framework for 2010-2019, which, inter alia, foresees an increase in the number of management and administration reviews for each participating organization, with a view to enhancing the accountability of their managers vis-à-vis Member States. Yet, the associated needed increase in resources has not been provided. As a consequence, only one management and administration review could be completed in 2010. Another planned management and administration review started only in late 2010 at the request of the United Nations Conference on Trade and Development (UNCTAD).

As for the origin of those ten topics, eight are in response to suggestions made in 2009 by participating organizations and oversight or coordinating bodies, many of which coincide with proposals made by the inspectors. The present process of establishing the programme of work closely involves the secretariat of the United Nations System Chief Executives Board for Coordination (CEB) which, at the request of the Joint Inspection Unit, systematically received, compiled and shared the system-wide suggestions. Consultations also took place with the Board of Auditors and the Office of Internal Oversight Services. This methodology has ensured greater relevance of the work of the Unit to system-wide coordination and coherence. It has also helped to avoid possible duplication.

The Unit was yet again embroiled in a debate over the possible establishment of an additional system-wide independent evaluation mechanism referred to by the General Assembly in its resolution 63/311. The Assembly, through its resolution 64/262 (para. 16), had provided the Unit with the opportunity to attend key meetings of Member States on this issue in New York and to participate in the relevant deliberations, an opportunity that the Unit welcomed. The Unit widely disseminated its position paper in order to make it clear that the proposed new unit would duplicate existing mandates and collaborative efforts, for example, joint evaluations and that any required future system-wide evaluation should be built on strengthening existing capacities, including those of the Joint Inspection Unit. Thus, in its resolution 64/289 (paras. 12-13) the General Assembly requested the Secretary-General to commission a comprehensive review of the existing institutional framework of system-wide evaluation of the operational activities for development of the United Nations system, in consultation with the Unit and the

United Nations Evaluation Group, indicating that such a review should aim at fully utilizing and strengthening the existing mechanisms.

In this connection, we wish to recall significant efforts made in recent years to enhance the effectiveness of the Unit through concrete reform proposals and the development of a results-based strategic framework for 2010-2019. However, achieving greater effectiveness also requires decisive action by Member States, in particular for the consideration of the reform proposals, as well as consideration and discussion of the Unit's reports, along with the provision of adequate resources.

The inspectors note with concern that an increasing number of legislative organs do not fully table, consider and discuss Joint Inspection Unit reports, and thus fail to act upon recommendations addressed to them. In particular, at the United Nations, including the General Assembly and its main Committees, and the Economic and Social Council, few reports have been acted upon and the majority of them are merely taken note of, which contradicts the reiterated calls for establishing an effective follow-up system. The situation is not much better in some of the participating organizations, where only a brief time slot is allocated on the agenda for the discussion of several reports, which does not allow for any in-depth discussion or decision-making.

Such lack of action undermines the potential value added and impact of the Unit's contributions to enhanced efficiency, effectiveness and system-wide coherence and cooperation. It also perpetuates and exacerbates current inefficiencies. The Unit looks forward to working closely with Member States in the coming years to address this situation and ensure better ways for discussing and acting upon reports. In particular, we anticipate that the General Assembly-mandated web-based follow-up system will greatly facilitate knowledge management and action on the Unit's recommendations by both Member States and participating organizations. For this to happen, however, full funding of the web-based tracking project will be required during the first part of 2011 if the system is to become operational in 2011.

(*Signed*) Mohamed Mounir Zahran
Chair
Geneva, 20 January 2011

Chapter I
Annual report for 2010

A. Towards greater effectiveness of the Joint Inspection Unit

1. In 2010, the Unit further improved its working methods as well as those of its secretariat with a view to enhance overall effectiveness and the quality of outputs. The Unit continued to review its internal working procedures to streamline its operations and administrative arrangements leading to more efficient processes based on equally shared responsibilities among the inspectors as peers. The working procedures will be underpinned by separate guidelines for evaluations and investigations. The latter will ensure that the work of the Unit is aligned with the norms and standards for evaluation of the United Nations Evaluation Group, bearing in mind the special mandate and working procedures of the Joint Inspection Unit.

2. The Joint Inspection Unit secretariat has been restructured with a stronger focus on improving strategic planning, quality control, knowledge management and follow-up. The secretariat also reviewed its communications strategy and plans to develop a number of tools so as to enhance the dissemination, relevance and use of the Unit's work.

3. However, despite all the efforts made by the Unit, there are additional key reform elements necessary for enhancing the impact of the Unit that require decisions and support by Member States.

4. During the 2010 debate on General Assembly resolution 63/311, the Unit reiterated in an informal note shared with Member States that it already had the mandate for system-wide evaluation but that further reform efforts were needed in line with earlier reform proposals[1] by the Unit so as to strengthen its functions, powers, composition and responsibilities, the appointments process of the inspectors, the coverage of the work of the Unit and the provision of resources.

5. Regarding the functions, powers and responsibilities, the year 2010 has shown limited progress concerning the uptake of Joint Inspection Unit recommendations by Member States. A recent review by the United Nations Department of Management revealed that, of 27 reports presented to the General Assembly between 2004 and 2008, 21 reports were taken note of. As a consequence, few of the recommendations directed to Member States were considered accepted and thus there was no impetus for implementation by the responsible Secretariat entities. Overall implementation rates therefore remained low. This is a matter for concern, as the effectiveness of the work of the Joint Inspection Unit hinges on shared accountability between the Unit, its participating organizations and Member States.

6. The Unit's work continued to be hampered by the lack of adequate resources. Given the increasing complexity of the reviews requested by participating organizations, the original funding model of the Unit needs to be reviewed. On a positive note, three complex system-wide projects received extrabudgetary financing, which enabled the Unit to contract the necessary technical expertise and to undertake the required missions, including to field locations.

[1] A/58/343 and its addenda.

7. The strategic framework for 2010-2019 (annex III to A/63/34), while acknowledged in General Assembly resolution 63/272 (para. 17), was never matched with the required increase in resources, and could thus not be implemented in 2010. A major feature of the strategic framework foresees a systematic review of participating organizations once every five years. Without additional resources this is not possible. The Unit firmly believes that, if resourced appropriately, the strategic framework is the appropriate strategy to ensure greater effectiveness of the work of the Unit.

8. Finally, as indicated in the strategic framework, the Unit has taken steps to improve its follow-up system and has completed a feasibility study on a web-based tracking system. While the Unit is prepared to complete the development of the system in 2011, it lacks the resources to do so.

B. Implementation of the programme of work for 2010

9. The programme of work for 2010, adopted by the Unit at its winter session (A/64/34, chap. II), contained ten new projects. Two new projects were added during the year and another suspended. The added projects are a mandated[2] system-wide Review of United Nations institutional arrangements for South-South and triangular cooperation for development, which was accommodated under the proviso that resources would be provided to fund technical expertise and travel, and the mandated[3] Review on possible measures to further enhance transparency in the selection and appointment process of senior managers in the United Nations Secretariat. The review of lump-sum options was suspended because the United Nations Secretariat had commissioned a similar review. The start of a review of management and administration of the United Nations Conference on Trade and Development (UNCTAD) was postponed to late 2010 at the request of the management of UNCTAD, so as to allow for the completion of ongoing oversight activities.

10. By the end of 2010, eight projects from the previous programme of work and three from the current programme of work had been completed. Ten projects were carried forward to 2010, of which the majority will be finalized in early 2011. This backlog in the completion of projects is owing to the above-mentioned mismatch between mandate, structure and resources.

C. Reports completed in 2010

11. In 2010, the Unit issued ten reports and one management letter, containing 122 recommendations. Of these, nine reports were of a system-wide nature, and the remaining report and the management letter concerned single organizations.

12. *JIU/REP/2010/1, Environmental profile of the United Nations system organizations*: review of their in-house environmental management policies and practices. This system-wide review assessed the environmental policies and practices of the secretariats of the United Nations system organizations on their sustainable use of resources, including energy consumption.

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[2] Decision 16/1 of the High-Level Committee on South-South Cooperation, 2/2010.

[3] General Assembly resolution 64/259 (para. 19).

13. The review revealed that development of environmental policies and practices had been undertaken in a piecemeal manner, due to the lack of a formal and systematic framework for integrated in-house environmental management based on explicit legislative mandates and applicable environmental norms and standards, as well as lack of administrative and managerial leadership at the senior level. Many secretariats of the Organizations are still far from honouring their commitment to "practice what you preach" or "walk the talk", as they are not sure whether and how they should apply the multilateral environmental agreements which their member States have adopted. Nevertheless, a variety of viable means and initiatives already exist within the system, which will improve environmental performance drawing on technological progress in energy use and production, and environmental protection and sustainability, leading to energy savings of 35 to 50 per cent, as well as cost savings in various United Nations premises, notably those in Nairobi, New York, Rome and Vienna. The process of coordination on the climate neutrality initiative has produced a system-wide accounting framework for CO_2 emissions and a critical mass of networked environment managers, representing a seminal contribution towards the adoption of broader in-house environmental management policies and systems.

14. The report contains 12 recommendations — 3 addressed to the General Assembly, 4 to the Secretary-General and 5 to executive heads of United Nations system organizations — the implementation of which should contribute to an enhanced role for the United Nations system to lead by example in improving its internal in-house environmental management. The Secretary-General, on behalf of CEB, accepted or supported all the recommendations. The General Assembly actively considered the report in the context of sustainable procurement of the Secretariat and decided to consider it further in the first part of its resumed sixty-seventh session.

15. *JIU/REP/2010/2, Review of travel arrangements within the United Nations system*. Conducted at the request of the International Atomic Energy Agency (IAEA), the review examined existing travel arrangements and considered best practices among United Nations organizations with a view to improving services and reducing travel costs, one of the largest parts of United Nations system organizations' budgets after staff costs. Airline ticket expenditures of international organizations were estimated at $1.1 billion in 2008. The report contained a recommendation for the formal adoption by the Inter-Agency Travel Network of its own statute stating goals, objectives and procedures, a recommendation that was mostly implemented at its September 2010 annual meeting.

16. The report draws attention to the different models for procuring travel services and to cost-reduction measures adopted by organizations in response to the financial crisis, including strict adherence to advance travel planning, revision of lump-sum options, entering into joint airline negotiations, offering staff incentives and streamlining of travel claims processing. The report calls for Member States to be informed regularly by executive heads on travel expenditures and steps taken to rationalize travel costs, while noting that the implementation of enterprise resource planning systems would alter the current travel arrangements workflow, requiring changes in policies and procedures.

17. CEB members commended the Joint Inspection Unit for producing a clear, comprehensive and constructive report. Agencies found many of the conclusions to be practical and worthy of further consideration (A/65/338/Add.1, para. 2).

18. *JIU/REP/2010/3, Ethics in the United Nations system*. This report follows up on an earlier Joint Inspection Unit report entitled, Oversight lacunae in the United Nations system (JIU/REP/2006/2), to determine progress, lessons learned and best practices in establishing and implementing the ethics function throughout the United Nations system. The review examined the ethics function in relation to key components considered essential for an effective ethics function, which were presented as Joint Inspection Unit suggested standards.

19. In the report it is noted that executive heads need to be committed to the ethics function, which should be operationally independent from the executive head. The report contains 17 recommendations covering, inter alia, the establishment of the ethics function, the appointment of and qualifications for the ethics head, the need for term limits, open recruitment with the involvement of staff representatives and reporting lines to Member States, training, the need for a comprehensive financial disclosure policy, including annual review and random verification, as well as the need to ensure that mechanisms are in place to investigate or undertake reviews of allegations brought against executive heads.

20. *JIU/REP/2010/4, Review of enterprise risk management in the United Nations system*: benchmarking framework. The objective of the review was to assess enterprise risk management policies, practices and experiences in the United Nations system, and to identify best practices and lessons learned regarding inter-agency cooperation, coordination and knowledge-sharing mechanisms.

21. The review found that most United Nations system organizations only start adoption and implementation, prepare policy and framework documents or undertake first-phase exercises. Inter-agency cooperation and coordination are yet to be fully explored. The report contains three recommendations and ten Joint Inspection Unit benchmarks which were based on the review of enterprise risk management literature, experience and lessons learned. The benchmarks for the successful implementation of enterprise risk management in United Nations organizations suggest: the adoption of a formal enterprise risk management policy and framework; full commitment and engagement of executive management; a formal implementation strategy; a formally defined governance structure and clearly established roles and responsibilities; a communication and training plan; provision of adequate resources; clear guidelines for implementation; integration of risk management with results-based management; monitoring, evaluation and reporting mechanisms; and inter-agency cooperation and coordination. One recommendation is addressed to executive heads, one to governing bodies and one to CEB.

22. *JIU/REP/2010/5, Review of the audit function of the United Nations system*. Based on an internal proposal, this review assessed the current needs and best practices of the audit function in the United Nations system. The objective of the report was to contribute to improving system-wide coherence among the competent entities dealing with the audit function, whether internal or external, in line with professional standards for the practice of the profession, as applicable to the United Nations.

23. The review found that the audit function still lacks system-wide coherence and coordination. Many organizations need to improve the audit function's independence, capabilities, resources and processes to overcome a number of performance gaps and better align the value delivered in line with stakeholders' expectations.

24. The report contains 18 recommendations, of which 1 is addressed for action to executive heads, 4 to internal audit or oversight heads, 2 to audit/oversight committees and 11 to the legislative bodies of the United Nations system organizations. Regarding the internal audit/oversight function, recommendations include improving the independence of the function, the authority and responsibility of the internal auditors, their recruitment process, the accountability and comprehensiveness of their reporting, the adequacy of resources, the improvement of the follow-up systems on implementation of recommendations and the assessment of internal audit performance. Recommendations regarding external audit focus on the service's mandate or scope, competitiveness, need for rotation and improvement of the selection process, transparency and accountability of its reporting and the implementation of the single audit principle. The recommendations concerning audit or oversight committees include the need to broaden their mandate or scope and improve their composition and accountability of their reporting.

25. Comments on the draft report were sought from all United Nations system organizations and other organizations participating in the interviews and surveys and taken into account in finalizing the report. It is worth noting that the Board of Auditors never responded to the Joint Inspection Unit questionnaire, but provided extensive comments on the draft report, which were fully reflected. The findings and recommendations were presented and discussed at the forty-first plenary meeting of Representatives of Internal Audit Services of the United Nations organizations and multilateral financial institutions in September 2010. The Institute of Internal Auditors confirmed that the Joint Inspection Unit recommendations were in alignment with the Institute's International Professional Practices Framework.

26. *JIU/REP/2010/6, Preparedness of the United Nations system organizations for international public sector accounting standards (IPSAS).* The report reviews the transition to and implementation status of IPSAS in United Nations system organizations, seeking to increase awareness of IPSAS among delegates and officials of the various secretariats, most of whom do not have a professional background in accounting. It explains why the organizations have decided to transit to IPSAS; highlights the provisions of IPSAS that would entail major changes in accounting and management practices across the United Nations system; and gives insight into key IPSAS issues, with a view to assisting the organizations to assess the implementation status of their IPSAS project and, if necessary, rethink their adoption strategy.

27. The report confirms that the adoption of IPSAS is starting to have a major impact on organizations and should allow for enhanced management of resources and business processes and improved results-based management across the United Nations system. In addition, the report addresses a number of risks that the executive heads and legislative bodies should consider in order to ensure a smooth transition to IPSAS. It also demonstrates that the transition to IPSAS has posed a significant challenge for most organizations and that many have failed to undertake

initial risk and preparedness assessments, as they had underestimated the concerted efforts and resources that would be required for their respective projects. An annex to the report details the experience of the World Food Programme, the first United Nations system organization to have achieved in 2008 and 2009 full compliance with IPSAS requirements. Drawing on this experience, the report contains a set of 16 best practices and formulates 3 recommendations that organizations should implement in order to ensure a successful transition to IPSAS.

28. *JIU/REP/2010/7, Policies and procedures for the administration of trust funds in the United Nations system organizations*. The objectives of this review were to examine the policies, regulations and rules in force in connection with trust fund management and administration, as well as the major trends in the overall volume and use of trust funds in United Nations system organizations, so as to identify the specific problems and best practices in managing trust funds, with a view to enhancing the effectiveness and efficiency and promoting system-wide coherence of trust fund administration.

29. The review found that there is a need for strengthening efforts for better integrated management of regular budget and extrabudgetary resources, including trust funds, to address the fragmentation of the organizations' funding architecture and to ensure better alignment of funded activities with organizational priorities. In this respect, organizations should encourage donors to increase the portion of funding provided for thematic trust funds, which would lead to efficiency gains in trust fund administration. Further efforts should be made to better address and manage trust-fund-related risks, as well as to enhance oversight, including through improved audit coverage and through incorporating lessons learned from evaluations of trust funds. There is also a need for greater harmonization of cost-recovery policies related to trust funds among United Nations system organizations to avoid competition for resources, enhance transparency and prevent potential subsidization by the regular budget of trust-fund-financed activities. With respect to multi-donor trust funds, a regular dialogue between all major stakeholders should be strengthened, and the current framework for auditing such trust funds should be reviewed to enhance audit coverage and achieve more integrated audits.

30. The report contains 13 recommendations, of which 4 are addressed to the legislative bodies of the United Nations system organizations, 5 to their executive heads, 3 to CEB and 1 to the heads of internal audit of the organizations.

31. *JIU/REP/2010/8, Staff mobility and work/life balance in the United Nations system organizations*. The objective of the review was to assess the policies and mechanisms regulating staff mobility and work/life balance from a system-wide perspective, providing participating organizations and their respective governing organs with an independent, external assessment of relevant issues.

32. The review found that inter-agency mobility is currently driven by staff members' individual initiative and not by organizations, which should take a proactive approach and develop new mobility schemes in consultation with staff. In this regard, the major hurdle to overcome is the need to harmonize practices and tools across the system, with regulations and rules common to all organizations. The review could confirm that progress has been made and that organizations are advancing on the necessary harmonization of practices in different areas; and encourages them to continue this effort at a faster pace given the strategic importance of the "delivering as one" concept.

33. The review concluded that, while it is generally accepted that a structured mobility scheme may enhance staff capabilities, providing staff with a broader experience, organizations should go beyond this widely accepted mantra. Mobility should not be an end in itself. Staff mobility is key to achieving organizational goals and to reacting to emergencies or global challenges, but only a proper match of organizational and staff needs can guarantee a solid base for a successful development and implementation of staff mobility and work/life balance initiatives.

34. The report contains 10 recommendations and a set of proposals addressed to governing bodies, CEB and executives heads to harmonize and enhance staff mobility and work/life balance across the United Nations system.

35. *JIU/REP/2010/9, Corporate partnerships: the role of the Global Compact, best practices and lessons learned.* The Global Compact was launched in 1999 at the World Economic Forum in Davos by the former Secretary-General to promote among business participants 10 agreed principles of responsible corporate citizenship that embrace United Nations universal values in four areas of action: human rights, labour, environment and corruption. The objective of this review was to examine the Global Compact's role, degree of success and the risks associated with the use of the United Nations name by companies without having to prove their conformity with United Nations core values and principles. The report identifies best practices, lessons learned and challenges, and formulates recommendations for an effective, transparent and accountable management of this type of corporate partnerships.

36. The review found that, while originally established in the Office of the Secretary-General, the Global Compact initiative quickly evolved under the shield of the Secretary-General into a full-fledged office with growing staff, premises, funding, functions and ambitious objectives, functioning within a special set up recognized by the General Assembly in its resolution 62/211, lacking a proper regulatory governmental and institutional framework. Against this background, the Global Compact succeeded in expanding significantly its constituency and in multiplying its outreach activities to the private sector. Yet, the lack of a clear and articulated mandate resulted in blurred focus and impact; the absence of adequate entry criteria and an effective monitoring system to measure actual implementation of the principles by participants triggered some criticism and increased reputational risk for the Organization; and the Office's special set-up bypassed existing rules and procedures. The report calls for involvement of Member States to provide a clear mandate for the Office to rethink and refocus its action.

37. The report includes 16 recommendations, of which 4 are addressed to the General Assembly, 5 to the Secretary-General and 7 to the Global Compact Office. The inspectors are pleased to note that the Strategic Planning Unit of the Executive Office of the Secretary-General has indicated that many of the recommendations provided by the Joint Inspection Unit inspectors echo the direction and initiative which the senior management of the Global Compact and the Secretary-General would like to take.

38. *JIU/REP/2010/10, Review of the management and administration in the United Nations Office on Drugs and Crime (UNODC).* The review focused on the governance, executive management, administration, strategic planning, budgeting, human resources management, and oversight of the Office. The review found that the fragmentation of the UNODC governance structure and funding mechanism are

affecting its efficiency and effectiveness in performing its duties. Regarding governance, the report recommends to hold a joint reconvened session of the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice, to serve as an integrated body to strengthen the oversight of the activities for the Office. In relation to funding, the report stresses the need to fund basic corporate functions by sustainable resources, either via the United Nations regular budget or non-earmarked voluntary contributions. Further, in the spirit of simplifying the financial management of UNODC, the report suggests exploring the possibility of merging the Fund of the United Nations International Drug Control Programme and the United Nations Crime Prevention and Criminal Justice Fund.

39. In terms of management, the report contains a recommendation that a consolidated mandate review and prioritization exercise be done to reconfirm the strategic vision for the Office and placing the secretariat of the International Narcotics Control Board directly under the UNODC Executive Director.

40. The report contains 14 recommendations, 12 of which are directed to the Executive Director, 1 to the governing bodies, namely the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice and 1 to the United Nations General Assembly.

41. *JIU/ML/2010/1, United Nations Office at Geneva Security and Safety Section management letter.* This management letter is a follow-up to the note entitled "Review of management and administration of the United Nations Office at Geneva" issued in 2007.[4]

42. The letter includes recommendations on accountability, staff-management relations, workforce diversity, mission assignments, and training development. The Director-General of the United Nations Office at Geneva commented on the management letter, accepting most of the recommendations falling within his area of responsibility.

43. Two recommendations are addressed to the Office of Internal Oversight Services for further in-depth scrutiny, and in some cases, investigation, of the human resource management practices within the section. The Security and Safety Section of the United Nations Office at Geneva stated that it stood ready to cooperate in the matter. Two other recommendations are directed to the Secretary-General to further formalize the legal and accountability frameworks of the United Nations security entities.

D. Interaction with participating organizations and legislative bodies

44. In response to the request of the General Assembly in its resolution 60/258, the Unit continued to enhance its dialogue with participating organizations in line with the revised policy and guidelines adopted in 2008.

45. Improving relationships with participating organizations also featured prominently in 2010. The Unit had formal high-level meetings at the most senior level with the International Trade Centre UNCTAD/WTO (ITC), the International Telecommunication Union (ITU), UNCTAD, the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the

[4] JIU/NOTE/2007/1.

United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Population Fund (UNFPA), the Universal Postal Union and the World Intellectual Property Organization (WIPO). In addition, focal-point inspectors, during their project-related missions, used the opportunity to meet with executive heads and focal points of the respective participating organizations, as appropriate. During these meetings, issues of common concern for both the Unit and the organizations were discussed, in particular the follow-up to Joint Inspection Unit recommendations.

46. Inspectors also participated in sessions of the legislative bodies of the International Labour Organization (ILO), the International Telecommunication Union (ITU), the Office of the United Nations High Commissioner for Human Rights, the United Nations, UNDP, UNEP, UNFPA and the World Food Programme (WFP) when Joint Inspection Unit reports were presented. At the United Nations, report coordinators met with Member States and regional groups and also introduced their reports, as appropriate, in the Fifth and Second Committees of the General Assembly and to the Economic and Social Council.

47. The Unit was also represented at several formal and informal consultations with the Fifth Committee of the General Assembly to discuss the Unit's annual report and programme of work and was invited to participate in an informal session by the Second Committee on a proposed system-wide evaluation mechanism.

48. A major event was the first meeting of Joint Inspection Unit focal points organized in Geneva on 13 and 14 September 2010, which was attended by 23 focal points from 20 participating organizations and a CEB representative. The objectives were to: (a) share with Joint Inspection Unit stakeholders how the Unit plans and conducts its work; (b) hear from focal points suggestions for improvement in working processes and relations; and (c) allow for some face-to-face networking and sharing of experiences. Participants' evaluation of the event was positive, its success indicating that this kind of direct engagement is well appreciated by participating organizations and can contribute to more effective working relationships. There was strong support for organizing this event on a regular basis, allowing for more in-depth discussion of some strategic issues. The planned web-based follow-up tracking system was welcomed as a step in the right direction.

49. The meetings further strengthened interaction with secretariats and Member States so as to promote a better understanding of the Unit's work and challenges. At the same time, it has become apparent that there is limited knowledge and understanding of the Unit's mandate and working methods. To this end, the Unit is developing a communications strategy which will enable it to better share its results in appropriate yet diverse forums.

E. Follow-up to recommendations

50. An effective and efficient follow-up system is fundamental for achieving the intended impact of the Unit's oversight activities. In its resolution 60/258, the General Assembly requested the Unit to strengthen the follow-up on the implementation of its recommendations and has repeatedly shown its interest in such a follow-up system, as originally set out in its resolution 54/16.

51. The number of recommendations tracked by the Joint Inspection Unit for the current reporting period (2007-2009) reached 389 (see table 1).

52. In preparation for the present report, the Unit requested participating organizations to provide information on all recommendations issued between 2007 and 2009. At the time of writing the report, the secretariat of the Joint Inspection Unit had received information from all but three organizations (United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), Office of the United Nations High Commissioner for Refugees (UNHCR) and WIPO). This response rate is improving slightly compared to the previous year, when four organizations did not respond. WIPO, in particular, has not been responsive for consecutive years.

Table 1
Publication of reports, notes and management/confidential letters

Year of publication of reports, notes and management or confidential letters	*2007*	*2008*	*2009*	*Total 2007-2009*
Number of single-organization publications	8	2	5	15
Number of single-organization recommendations	94	23	65	182
Number of publications that are system-wide and related to several organizations	7	9	6	22
Number of recommendations that are system-wide and related to several organizations	49	96	62	207
Total publications	15	11	11	37
Total recommendations	143	119	127	389

Consideration of Joint Inspection Unit reports, notes and management/ confidential letters

53. Data available on the consideration of the 37 reports, notes and management or confidential letters issued in 2007, 2008 and 2009 were analysed against the provisions of the Joint Inspection Unit statute.[5] Annex III provides details regarding the consideration of system-wide reports by organizations. Based on the information provided, the Joint Inspection Unit wishes to acknowledge the continued strong track records of the United Nations Children's Fund (UNICEF) and the World Health Organization (WHO), as well as the International Maritime Organization (IMO), UNDP, UNESCO, UNFPA, the United Nations Industrial Development Organization (UNIDO) and WFP.

54. However, it notes with concern that several organizations (IAEA, ITU, the United Nations World Tourism Organization (UNWTO) and WIPO) to which over 12 reports were sent during the reporting period, have not yet informed the Joint Inspection Unit on consideration or action taken.

55. While many secretariats informed the Joint Inspection Unit about the concrete actions (acceptance, rejection or other) with regard to recommendations addressed to their respective executive heads for action, most organizations do not propose to

[5] See article 11, paras. 4 and 5.

their legislative bodies a concrete course of action to accept, reject or modify the recommendations addressed to them. In the absence of such proposed courses of action, there is little in-depth discussion on the merits of Joint Inspection Unit recommendations, resulting in little or no action by legislative bodies.

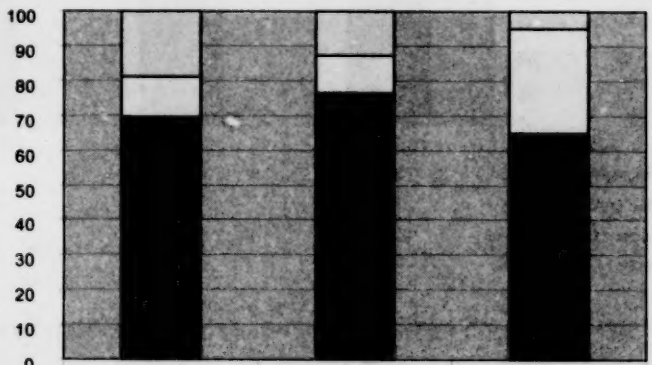
Acceptance/approval of recommendations

Single-organization reports and notes

56. An analysis of available data concerning the 182 recommendations contained in single-organization reports and notes issued in 2007, 2008 and 2009 as at the end of 2010 shows a lower rate compared to previous triennial reporting periods, with a 62 per cent acceptance rate.

57. In its resolution 62/246, the General Assembly expressed its readiness to apply the follow-up system to review recommendations of the Unit requiring action by the Assembly. In this respect, the United Nations Secretariat has made efforts to interpret the status of acceptance of Joint Inspection Unit recommendations, based on a thorough review of documentation of relevant sessions of the General Assembly in which the Joint Inspection Unit reports were discussed. A total of 27 reports issued by the Unit during the period from 2004 to 2008 were analysed. The review revealed that 21 of the reports were only taken note of, thus not implementing the recommendations. As a result, the acceptance rate for the United Nations remains low (see table 2). At the same time, as no information has yet been collected to assess implementation rates, the United Nations performance in this regard remains slightly below average.

Figure I
Acceptance rate of recommendations contained in single-organization reports and notes (2005-2009)
(Percentage)



	2005-2007	2006-2008	2007-2009
No information provided	19	13	1
Under consideration	12	11	29
Accepted	64	64	62
Rejected	6	14	8

Sources: A/63/34 and Corr.1, A/64/34 and late 2010 information provided by the organizations.

58. No information was provided for only 1 per cent of the recommendations and 8 per cent of all recommendations were rejected.

59. Of all the recommendations concerned, 29 per cent are "under consideration" during the current reporting period, as opposed to the 11 per cent reported in the previous period. In most of these instances, the governing bodies, after having considered the reports, have taken note of the recommendations, without explicitly endorsing or rejecting them. Good practice in this regard is demonstrated by FAO, UNESCO, and UPU. Member States, in turn, are expected to play their governance role by deciding on a concrete course of action.

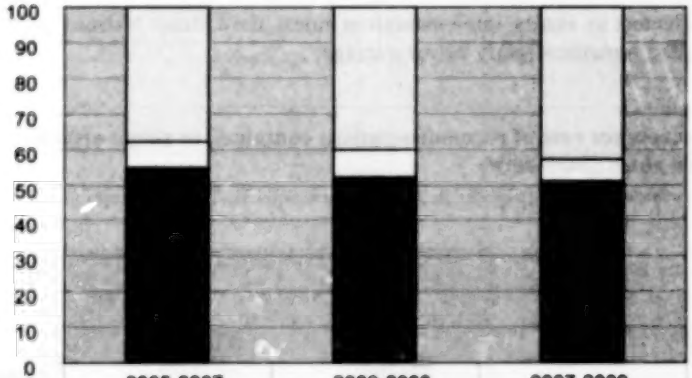
System-wide reports and notes concerning several organizations

60. An analysis of available data on the 207 recommendations contained in system-wide and several organizations reports and notes issued between 2007-2009 shows a low rate of acceptance reported for 2009, as many reports are yet to be discussed by governing bodies.

Figure II

Acceptance rate of recommendations contained in system-wide reports and notes and those concerning several organizations (2005-2009)

(Percentage)



	2005-2007	2006-2008	2007-2009
No information provided	38	40	42
Under consideration	7	8	6
Accepted	51	49	50
Rejected	4	3	2

Sources: A/63/34 and Corr.1, A/64/34 and late 2010 information provided by the organizations.

61. The relatively low overall approval/acceptance rate of 50 per cent results from the fact that no information was provided for 42 per cent of the recommendations. Unlike single-organization reports which are generally acted upon within the year of issuance, particularly if they are mandated, it takes more time for CEB comments on system-wide reports to be issued and for reports to be scheduled and considered by all participating organizations.

62. Only 2 per cent of the recommendations issued were rejected; 6 per cent of the recommendations are still under consideration. The remarks made in the previous paragraph regarding taking note of reports apply also to those instances in which the governing bodies, after having considered system-wide or several organization reports, did not explicitly approve, endorse or reject the recommendations addressed to them.

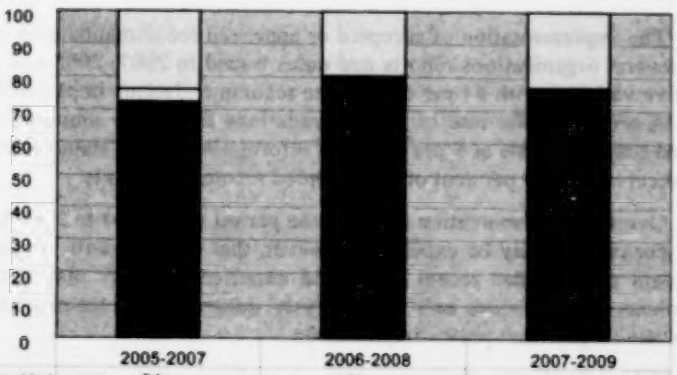
63. In some governing bodies, taking note does not reflect agreement and is therefore tantamount to non-action. On the other hand, the practice by some secretariats of presenting Joint Inspection Unit reports to the governing body, together with a document stating the views of the executive head on recommendations made, as well as information on what the secretariat of the participating organizations intends to do (including its reservations) is to be commended. In that case, the decision of the governing body, even if taking note, could provide sufficient legal framework for follow-up.

Implementation of accepted recommendations

Single-organization reports and notes

64. The data on approved or accepted recommendations normally shows lower rates of implementation for the most recently published reports and recommendations. Yet, at the end of 2010, data available for single-organization reports and notes present ascending rates in 2007, 2008 and 2009, with 57 per cent of recommendations implemented and 20 per cent in progress. No information on the status of implementation was received for 22 per cent of the accepted recommendations.

Figure III
Implementation rate of accepted or approved recommendations contained in single-organization reports and notes (2005-2009)
(Percentage)



	2005-2007	2006-2008	2007-2009
No information provided	24	20	22
Not started	4	1	1
In progress	40	32	20
Implemented	33	49	57

Sources: A/63/34 and Corr.1, A/64/34 and late 2010 information provided by the organizations.

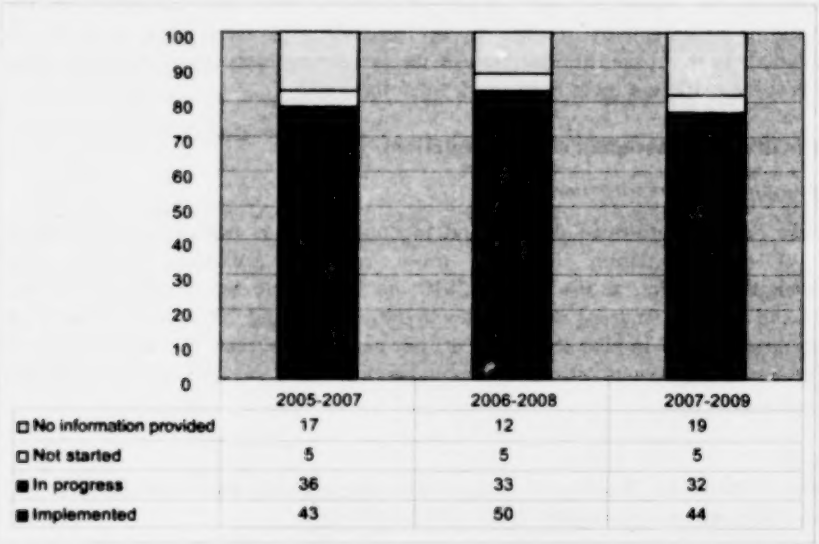
65. Overall, the implementation rate of 57 per cent is a clear and welcome improvement compared to the previous triennial reporting period, and even more compared to 33 per cent for 2005-2007.

System-wide reports and notes concerning several organizations

Figure IV

Implementation rate of accepted or approved recommendations contained in system-wide reports and notes and those concerning several organizations (2005-2009)

(Percentage)



	2005-2007	2006-2008	2007-2009
No information provided	17	12	19
Not started	5	5	5
In progress	36	33	32
Implemented	43	50	44

Sources: A/63/34 and Corr.1, A/64/34 and late 2010 information provided by the organizations.

66. The implementation of accepted or approved recommendations in system-wide and several organizations reports and notes issued in 2007, 2008 and 2009 show no positive variance with 44 per cent of the recommendations implemented and 32 per cent in progress. The rate of recommendations for which implementation has not started remains stable at 5 per cent. No information on the status of implementation was received for 19 per cent of the accepted recommendations.

67. Overall, implementation rates for the period from 2007 to 2009 have decreased by 6 per cent. It may be expected, however, that this rate will yet increase, as this last data set includes recent years and experience shows that it takes time for organizations to discuss and subsequently implement recommendations which at times have significant policy implications.

68. Table 2 shows the aggregate acceptance and implementation rate by organization since the inception of the system, from 2004 to 2009, and it is self-explanatory in terms of the commitment of each organization to the follow-up system.

69. Consistent strong performance regarding the status of acceptance is reported to be above 65 per cent for FAO, UNDP, UNESCO, UNFPA, UNICEF, UNIDO and WFP, due to their robust follow-up processes. The implementation rate tends to be lower than the acceptance rate, mainly due to the reasons stated above. In this regard, ICAO, WMO, UNESCO, and UNDP continue to report the highest rate of implementation.

Table 2

Aggregate status of acceptance and implementation of Joint Inspection Unit recommendations by participating organizations (from 2004 to 2009)

(Percentage)

	Acceptance					*Implementation of accepted recommendations*			
	Not relevant	*Accepted/ approved*	*Rejected*	*Under consideration*	*No information provided*	*Not started*	*In progress*	*Implemented*	*No information provided*
United Nations	1.8	54.4	8	17.2	18.6	1.6	27.2	35.3	35.9
UNCTAD	58	26	2	13	1	7.7	30.8	53.8	7.7
UNDP	1.9	90.9	1.4	5.7	0	4.7	30	59.5	5.8
UNEP	5.9	34.2	2.6	1.3	55.9	5.8	21.2	3.8	69.2
UNFPA	0.5	68.3	2	0.5	28.6		30.1	54.4	15.4
UN-Habitat	44.8	45.5	0	0	9.7	14.8	31.1	54.1	0
UNHCR[a]	1	23.7	1.5	3.6	70.1	4.3	26.1	52.2	17.4
UNICEF	6.6	66.2	1	3	23.2	3.1	23.7	43.5	29.8
UNODC	49.6	40	2.2	3	5.2	5.6	40.7	53.7	0
UNRWA[a]	9	60.2		0.8	30.1	8.8	36.3	35	20
WFP	0	66.5	0.5	23.1	9.9	2.8	38.3	44	14.9
FAO	0	87	7.6	3.8	1.6	1.2	27.3	44.7	26.7
IAEA	2.2	64.1	3.9	7.7	22.1	3.4	21.6	48.3	26.7
ICAO	18.1	54.8	6.4	5.3	15.4	1	21.4	76.7	1
ILO	1.5	32.3	1	5.6	59.6	0	17.2	18.8	64.1
IMO	17.8	54.6	3.9	3.3	20.4	1.2	3.6	20.5	74.7
ITU	0.5	22.7	3.8	0	73	2.4	26.2	23.8	47.6
UNESCO	10	77	4.5	0.5	8	0.6	29.9	64.9	4.5
UNIDO	11.9	75.7	4	8.5	0	15.7	47	32.1	5.2
UNWTO	0	3.2	11.2	14.9	70.7	0	100	0	0
UPU	12.6	39	1.9	16.4	30.2	9.7	43.5	38.7	8.1
WHO	1	48.5	2.6	2.1	45.9	13.8	31.9	21.3	33
WIPO[a]		7.7	0.6		91.7		53.8	46.2	
WMO[a]	10.7	63.4	7.8	2.9	15.1	6.2	16.9	68.5	8.5

[a] Data set is incomplete for this organization, due to non-reporting in 2010.

Impact

70. Intended impact (see table 3) is tracked over the full period covered by the follow-up system since its inception in 2004. The Unit uses eight different categories to better determine and report on the impact of its recommendations.

71. The majority of the recommendations focus on enhanced effectiveness and efficiency. Enhanced accountability, enhanced coordination and cooperation also feature as important thrusts for recommendations. It remains, however, difficult to quantify impact in the absence of regular feedback from participating organizations.

Table 3
Intended impact of Joint Inspection Unit recommendations (2004-2010)

	Number of recommendations							*Average 2004-2010 (percentage)*
Impact categories	*2004*	*2005*	*2006*	*2007*	*2008*	*2009*	*2010*	
Enhanced effectiveness	11	18	34	63	40	43	53	**34**
Enhanced efficiency	19	37	8	43	20	23	9	**21**
Enhanced accountability	4	2	20	10	19	19	15	**11**
Enhanced controls and compliance	3	17	4	13	13	5	9	**8**
Enhanced coordination and cooperation	6	20	10	7	7	5	14	**9**
Dissemination of best practices	12	20	15	4	8	19	9	**11**
Financial savings	0	1	1	3	6	1	3	**2**
Other	0	2	0		6	12	10	**4**
Total	**55**	**117**	**92**	**143**	**119**	**127**	**122**	

F. The Joint Inspection Unit web-based tracking system

72. One of the most important elements of effective oversight is the systematic monitoring and thorough follow-up of the status and implementation of recommendations issued by oversight bodies. Without a proper follow-up system, the impact of recommendations cannot be determined accurately and the value of any review and/or inspection undertaken is greatly diminished, or lost. The General Assembly, fully aware that the effectiveness of the Joint Inspection Unit's work has been impeded by the lack of a proper system, has repeatedly requested the Unit to strengthen the follow-up on implementation of its recommendations.

73. In its resolution 62/246, the General Assembly had requested the Joint Inspection Unit to study the feasibility of using a web-based system to monitor the status of recommendations and receive updates from individual organizations. Subsequently, in resolution 64/262, the Assembly invited the Unit to report to the General Assembly on further progress made (in the establishment of the web-based follow-up system) and requested the Secretary-General to report to the Assembly in the context of the proposed programme budget for the biennium 2012-2013 on any related resource implications and funding options.

74. In response to that request, the Joint Inspection Unit promptly conducted a feasibility study which confirmed that a web-based system could overcome the

many limitations of the current system thus promising a remarkable improvement to the current system.

75. The present follow-up of recommendations is done through the use of a local database combined with several manual procedures, where an initial request for data on the status of implementation is sent to participating organizations once a year and responses received are entered manually into the system. The laborious process on both ends, Joint Inspection Unit and participating organizations, is inefficient to say the least. Organizations then are expected to keep their own records and develop specific procedures for the follow-up of Joint Inspection Unit recommendations.

76. The new system would allow organizations to consult and update relevant information online and avoid duplicate data entry and record keeping, while enhancing reporting facilities. This will save time, particularly for the focal points, enabling them to concentrate on the substance of the recommendations. The new system, with different user access controls, will also allow Member States, inspectors, staff and other authorized stakeholders to check and review online the status of implementation by each participating organization of the recommendations contained in the different Joint Inspection Unit reports. It would also allow the screening of system-wide efforts to implement key recommendations.

77. After a thorough consideration of stakeholders' needs, the specifications and functionality of the system have been defined and a request for proposal, intended to determine the cost of developing and implementing such a system was launched. Several vendors responded; following a rigorous technical and commercial evaluation of each proposal a potential vendor has been selected. The cost of the development and implementation of the system is $302,000, exclusive of related training of end-users, maintenance, support and website hosting fees. Relevant costs have been included in the proposed programme budget of the Joint Inspection Unit for the biennium 2012-2013.

78. The Unit is now ready to start the development and implementation of the system, which is estimated to require 10 months, as indicated in annex IV. Yet, without additional resources committed during the current biennium, the Unit cannot make firm this decision, nor enter into any commitment with the selected vendor during the course of 2011 and deliver on the system by the end of 2011, as promised in the Unit's strategic plan. The implementation of the system is therefore currently at risk. In order to avoid wasting resources and efforts spent thus far, the Unit is reaching out to Member States to help obtain the necessary minimum resources to develop the system. The Unit believes that once the system is in place, it could be utilized with some minor modifications, by other oversight bodies, thus achieving significant economies of scale.

G. Relationships with other oversight and coordinating bodies

79. The Unit continued its increasingly active and regular interactions with other oversight and coordinating bodies in 2010, in particular with the Office of Internal Oversight Services and the Board of Auditors. A regular exchange has also started with the Independent Audit Advisory Committee and the United Nations Management Coordination Committee, with which the Unit met separately once in 2010.

80. During the annual tripartite meeting with the Board of Auditors and the Office of Internal Oversight Services, the parties formally presented and discussed their workplans for 2011, which had been informally shared among participants prior to the meeting, with a view to avoiding overlap or duplication and to achieving further synergy and cooperation. The meeting also discussed the need to better clarify the respective roles of each oversight body to key stakeholders.

81. The Unit also had regular contacts with other internal oversight services, in particular those that have been designated as their organization's focal point for dealing with the Joint Inspection Unit.

82. The Unit participated as an observer in the annual meeting of the United Nations Evaluation Group[6] held in Vienna in late May 2010, in the Conference of International Investigators in Nairobi in June 2010 and in the meetings of Representatives of Internal Audit Services of the United Nations organizations and multilateral financial institutions in Geneva in September 2010. At the Representatives of Internal Audit Services of the United Nations organizations and multilateral financial institutions meeting the Joint Inspection Unit played an active role, presenting to the plenary two of its recently finalized system-wide reviews on the audit function and on enterprise risk management. These are all important forums for the exchange of oversight practices and discussion of system-wide oversight issues.

H. The role of the Joint Inspection Unit in system-wide evaluation

83. Several new exchanges took place with Member States, the United Nations Evaluation Group, the CEB secretariat and the Office of the Secretary-General, regarding the request addressed to the Secretary-General in General Assembly resolution 63/311 to make recommendations on the establishment of a system-wide evaluation mechanism (para. 8) and on the evaluation of the "delivering as one" pilots (para. 19).

84. The Unit declined an invitation to constitute the secretariat for the independent evaluation of the "delivering as one" pilots, due to existing capacity constraints and a full programme of work, but it agreed to nominate one inspector as a member of the evaluation management group overseeing the evaluation.

85. Regarding the system-wide evaluation mechanism, the Unit responded formally to the proposal made by the Secretary-General in the report contained in document A/64/289 to set up a new independent system-wide evaluation mechanism, emphasizing that the creation of a second system-wide evaluation unit could not be a viable option. The new unit would not only be costly, but would also duplicate the work of existing evaluation services within the system, weakening rather than strengthening them and most likely leading to increased inefficiencies, in particular, as the proposed new unit would lack a direct reporting and follow-up relationship with the relevant intergovernmental bodies. The Joint Inspection Unit agreed with the prevailing view that system-wide work on evaluation needs to be improved and expanded, but stressed that any such improvements should not

[6] The United Nations Evaluation Group is a group of professional practitioners of evaluation in the organizations of the United Nations system.

overburden the existing governance, accountability and reporting systems with new structures at the cost of established structures.

86. The Unit indicated that the existing arrangements, if strengthened, could meet the requirements for an improved system-wide evaluation mechanism requested by the General Assembly in its resolution 63/311.

87. The Unit's own proposals for reform (A/58/343 and addenda) seek, inter alia, a review of the composition of the Unit and the appointments process of the inspectors. As is argued in the report, this would entail a careful examination of the individual qualifications and previous experiences of candidates and matching these with an agreed-to job description, so as to ensure that the prospective inspectors meet the required competency profile. Ideally, the selection of inspectors should take into account the skills profile needed to undertake complex system-wide evaluations. Furthermore, a more competitive selection process where Member States are able to choose them based on the above would also enhance the professional profile and recognition of the Unit.

88. Aligning the work of the Joint Inspection Unit with the expectations raised during the debate on system-wide evaluation will require additional resources. The current human and financial resources provided to the Unit, which have only marginally increased (mostly owing to increased staff costs) in real terms since its inception, are insufficient. The complexity of system-wide evaluations will require a more extensive use of senior technical consultants to support the work of the inspectors. The greater use of consultants would not only increase the ability of the Unit to meet system-wide demands, but also result in shorter report production timelines. There should also be at least one full-time and experienced evaluation officer for each inspector. Currently, there are only 10 professional staff posts for 11 inspectors, 9 of them dedicated to evaluation and 1 for investigation. Funds are also needed to ensure more appropriate coverage of United Nations field operations in recognition of the expanding work and critical role of the United Nations in the field, in particular in reflection of the trend towards more integration and consolidation of the United Nations presence at the country level.

89. The Unit believes that if these proposals are seriously considered and followed up, the Unit could well meet the requirements expressed by Member States regarding the proposed system-wide evaluation mechanism.

I. Resources

90. The approved staffing table of the Joint Inspection Unit in 2011 was composed of eleven inspectors (D-2), the Executive Secretary (D-2), ten Professional posts dedicated to evaluation and inspection (2 P-5, 3 P-4, 3 P-3 and 1 P-2) and to investigation (1 P-3), a Senior Research Assistant (G-7) and eight General Service (Other level) staff, of whom four are assigned as research assistants to specific projects, and four provide administrative, IT, documentation management, editorial and other support to the Unit. In addition, the Government of Germany agreed to provide a junior professional officer for two years, starting in 2010, and the Government of Austria provided a junior professional officer for four months to assist with a major system-wide review. The provision of these two junior professional posts has contributed to alleviating the workload to some extent and has allowed for the formation of larger and better construed teams in line with the

complexity of reviews. The office also developed an active internship programme in support of the implementation of the programme of work, when needed.

91. The long-awaited recruitment of the investigation officer (P-3) was finally completed and should lead to building the necessary capacity in this important field.

92. The efforts to develop staff professional capacity and skills continued during the year. On average, each staff benefited from 5.2 days' training, thus meeting the United Nations target of 5 days. Videoconferencing was used for a number of training sessions at very low cost. Two staff members attended evaluation training courses.

93. In terms of financial resources, the regular allotment for 2010 amounted to $6.59 million, of which $6.04 million (92 per cent) was for staff costs, with the remainder being allocated for travel ($266,000) and other non-staff costs ($278,000). As already mentioned, these resources are insufficient to address programmatic needs. Consequently, the Unit requested an increase in its budget submission for 2010-2011, which was not properly addressed; it has therefore reiterated that request in the budget proposal for 2012-2013.

94. Extrabudgetary contributions were received from the UNDP South-South Cooperation Unit ($255,860), the United Nations Mine Action Service ($200,520) and from the Government of Norway (NOK 1 million — equivalent to US$ 161,000) towards three reports. The funds allowed for the contracting of short-term evaluation staff, consultants, and travel, in response to additional needs of highly demanding and complex system-wide evaluations.

95. In its internal strategic workplan for 2010, the secretariat has included, as one of its main strategic objectives, the improvement of knowledge management and sharing. Within this overall objective, the updating and modernization of the current website is a critical element of the new strategic communications strategy. The current website design is outdated, very static and needs to offer additional functionality. The Unit is currently in the process of identifying users' needs and requirements to redesign the current website.

J. Other issues

96. The Unit is compelled to bring to the attention of the General Assembly difficulties which it encountered in 2010 in obtaining information and data from the United Nations Secretariat relevant for the preparation of the report mandated by the General Assembly (General Assembly resolution 64/259, para. 19) on transparency in the selection and appointment process of senior managers in the United Nations Secretariat.

97. The inspectors requested a random sampling of 15 individual files to test the selection and appointment process currently in effect. The Executive Office of the Secretary-General was informed that the inspectors had no interest in the personal information or identity of any candidates. Access to the files was denied under the pretext of confidentiality reasons. Instead, 15 files were hastily "made-up" and consisted mainly of a cover sheet and a press release, which was totally unsatisfactory, and also information that the inspectors already had, based on their preliminary research. Despite repeated requests by the inspectors to ensure that article 6 of the statute of the Joint Inspection Unit was respected, the information

was not released. Moreover, a number of other submissions in response to requests for information were incomplete, ignored or simply not provided, despite numerous requests. In addition to being in violation of the Unit's statute, this serves the Secretary-General poorly and gives credence to the notion that there is a culture of secrecy in the Secretariat.

98. The General Assembly may wish to call upon the Secretariat to adhere to the provisions of the Joint Inspection Unit statute and ensure that inspectors are accorded full cooperation at all levels, including access to any particular information or document relevant to their work.

99. In its resolutions 62/246, 63/272 and 64/262, the General Assembly requested the Unit to report on any difficulties and delays in obtaining visas for official travel of some inspectors and members of its secretariat. No critical incidents were registered in 2010.

Chapter II
Programme of work for 2011

100. In accordance with General Assembly resolution 61/260, by which the Assembly decided to consider jointly the annual report and programme of work of the Joint Inspection Unit during the first part of its resumed session, the Unit launched the preparation of its programme of work for 2011 in July 2010, inviting participating organizations and oversight bodies to submit their suggestions by the end of September 2010.

101. The Unit considered 17 new topics suggested by participating organizations and one oversight body. One of them coincided with an internal proposal, and another coincided with a previously short-listed item (placed on a roster). In addition, 2 other internal proposals and 9 roster items were considered, resulting in a total of 25 system-wide and three several organization topics being considered. The Unit also pre-screened the files for five potential management and administration reviews, of which one was selected.

102. All external suggestions and internal proposals were subjected to a thorough screening and validation process, which took into account the work done and planned by other internal and external oversight bodies, their resource implications and timeliness for consideration by governing bodies and other recipients, in addition to their potential to contribute to enhanced effectiveness, efficiency, coordination and cooperation in the United Nations system.

103. System-wide suggestions for 2011 were copied to the CEB secretariat, which, on behalf of the Joint Inspection Unit, subsequently invited the participating organizations to prioritize all system-wide proposals, as well as those from the roster. These ratings were considered when the Unit defined the 2011 programme of work at its winter session. The Unit further shared the tentative programme with the Board of Auditors and the Office of Internal Oversight Services during the December tripartite meeting.

104. In summary, out of 33 potential projects considered by the Unit, 11 were selected, of which 9 were system-wide, one concerned several organizations and one was a management and administrative review on a single organization. Six system-wide projects and one management and administrative review were placed on the roster for future years.

105. The programme of work is subject to change in the course of the year: new reports may be added; planned reports may be modified, postponed or cancelled when circumstances warrant; and titles may be changed to reflect the new thrust of reports.

Comparative analysis report on various accountability frameworks in the United Nations system[7]

106. In reaction to the report of the Secretary-General entitled "Towards an accountability system in the United Nations Secretariat" (A/64/640), the General Assembly requested the Joint Inspection Unit to submit to the General Assembly a

[7] Mandated by General Assembly resolution 64/259, para. 4.

comprehensive analysis report on various accountability frameworks in the United Nations system.

107. Relevant recommendations of the Advisory Committee on Administrative and Budgetary Questions will be taken into consideration in this mandated Joint Inspection Unit report, as endorsed in operative paragraph 2 of the same resolution, as well as prior Joint Inspection Unit reports, on accountability, results-based management, oversight lacunae, selection and conditions of service of the executive heads, ethics, audit function and enterprise risk management and ongoing reviews of the investigation function and selection of the senior managers. The objective is strengthening accountability in the United Nations Secretariat, including that of the Secretary-General to Member States, and promoting a culture of accountability, results-based management, enterprise risk management and internal controls.

System-wide review of investigations function[8]

108. Five years after the issuance of the "Oversight lacunae" report (JIU/REP/2006/2) and building on previous Joint Inspection Unit reports on oversight, the objective of the review is to assess system-wide coherence and harmonization among the competent entities dealing with the investigation function in United Nations system organizations. The scope of the review includes the mandate and practice of the investigation functions at the level of individual organizations, with reference to the role of the Conference of International Investigators and of the Audit and Oversight Committees. The investigation function's relationship with the system of administration of justice will be also reviewed.

Management of sick leave in the organizations of the United Nations system[9]

109. There is a presumption in United Nations system organizations that, where the level of absenteeism for certified or uncertified sick leave is high, it is not always justified on valid medical grounds and that the abuse of sick leave affects the organization's effectiveness and efficiency in its work. The report will compare sick leave provisions and practices in United Nations system organizations as well as other international organizations, to determine the feasibility and desirability of harmonizing, system-wide, the rules and regulations pertaining to the management of sick leave.

Review of individual consultancy policy and practices in United Nations organizations[10]

110. Individual consultancy contracts are one of the most frequently used employment instruments in United Nations organizations. The objective of this study, which has been welcomed by a number of participating organizations, is to provide an assessment of the policy and practices for the use of individual consultancies in the United Nations organizations and to identify good and bad practices, as well as offer recommendations for improvement.

[8] Proposed by the Office of Internal Oversight Services.

[9] Internal proposal.

[10] Internal proposal.

Information and communications technology governance in the United Nations system: best practices and benchmarks[11]

111. Effective information and communications technology (ICT) governance is a critical success factor for an organization's ICT operation and ensures that the organization's ICT sustains and extends the entity's strategies and mandates. The objective of the review is to conduct a comparative analysis of the different ICT governance practices, frameworks and processes in the various United Nations system organizations and some other international organizations, with a view to identifying best practices and lessons learned, hence promoting effective ICT governance. The key aspects to be looked at include: strategic alignment of ICT with business objectives and organization's mandates; ICT resources management; delivering of value and the use of cost-benefit analysis for ICT investments.

Follow-up on the implementation of the benchmarking framework for selection and recruitment of staff in the organizations of the United Nations[12]

112. Stemming from suggestions made by the United Nations Secretariat and endorsed by a dozen United Nations organizations, this topic is high on the agenda of ICSC, the CEB Human Resources Network and oversight bodies, focusing on regulations, policies and practices on selection and recruitment, as staff is the most important asset of the organizations. Given the fact that there have been a number of developments in the area of human resources management in the common system since 2000, this study will review the status of implementation of the benchmarking framework for staff employment.

113. In this respect, the review will focus, within the context of diversity, on the need to provide more efficiency, transparency and fairness to the recruitment processes, bearing in mind such principles as geographical representation, gender balance and equality of official working languages. The review will seek to assess existing disparities across the United Nations common system, with due attention to staff at headquarters duty stations versus those serving in field missions. The report will also evaluate the work of United Nations organizations towards further alignment and greater harmonization of business process of staffing through a common system approach, and put forward pertinent recommendations.

System-wide review of strategic planning mechanisms[13]

114. The United Nations organizations and agencies use a wide variety of strategic planning instruments and mechanisms approved by legislative bodies and/or formulated and executed internally to achieve their medium to long-term objectives and goals. They range from those employed in organizations' governance and management to the implementation of thematic programmes. These mechanisms are based on legislative mandates and missions and multilaterally agreed normative and operational plans and programmes, as well as on related directives of executive heads in particular fields. Their characteristics differ considerably from each other, depending on how they are mandated and funded, either by core or non-core resources.

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[11] Proposed by UNDP.

[12] Proposed by the United Nations.

[13] Proposed by the Office of Internal Oversight Services.

115. The review will identify instruments and mechanisms employed in organizational programme planning and budgeting processes, as well as those developed for achieving sectoral and thematic objectives in their activities at the national and global levels. The review will subsequently (a) compare these processes in their contributions to enhancing organizations' accountability and transparency; (b) evaluate their relevance, ownership, effectiveness and cost-efficiency in terms of compliance with legislative mandates and missions, as well as their impact on the operation of the organizations, taking into account related external and internal business conditions; and (c) address issues related to joint programming, planning and coordination among institutions, the financial foundation of the planning, including linkage and disconnect between strategy and the budget, and commitment of senior management and Member States to the strategy.

Business continuity in the United Nations system[14]

116. In the circumstances of frequent natural disasters, armed conflicts, terrorism threats and the potential failure of complex systems and equipment, business continuity, disaster recovery and emergency preparedness are issues of growing importance for the United Nations system organizations. In recent years, several United Nations organizations have developed business continuity plans for their headquarters and offices away from headquarters to ensure that they will be able to function and fulfil their respective mandates in all circumstances. General Assembly resolution 63/268 highlighted the importance of close coordination of business continuity management policies among all United Nations entities and of systematic sharing of lessons and best practices on a system-wide basis.

117. The aim of this review is to assess the existence of business continuity strategies and plans within the United Nations system organizations, experiences and best practices in their implementation, the liaison and coordination mechanisms among field entities for emergency preparedness, the work and staffing of specialized preparedness and business continuity units, their financing framework and funding mechanisms.

Staff-management relations in the specialized agencies and the United Nations common system[15]

118. This review complements the ongoing study on management-staff relations in the United Nations Secretariat and United Nations associated entities. Building on the findings of that study, the review seeks to analyse the complexity and diversity that characterizes staff-management relations in the specialized agencies and will critically analyse the role of other actors within the common system, particularly ICSC and the staff federations. The effectiveness of existing staff-representation structures and joint staff-management mechanisms will be reviewed, as well as the challenges and limitations to the mandate and accountability of representatives from both sides. Through a comparative inventory of practices in these agencies, including a review of regulations and rules in force and an assessment of the implementation of internationally agreed rights and norms, the review will develop concrete recommendations and identify good practices and practical tools to enable both sides to carry out their functions effectively for the benefit of their organizations.

[14] Proposed by UNICEF.

[15] Internal proposal.

System-wide review on safety and security[16]

119. The discussion of the security and safety of United Nations staff and premises have been persistent items on the United Nations agenda and have led to a number of reform processes over the years, including, inter alia, General Assembly resolution 59/276 on a strengthened and unified security management system for the United Nations, which led to the creation of the Department of Safety and Security. This system-wide review on safety and security will address major issues related to security and safety, in particular, those related to the development and application of common standards and the coordination of the organizations of the United Nations common system, both at the field and headquarters levels.

Review of management and administration in the Economic Commission for Latin America and the Caribbean[17]

120. ECLAC, which is headquartered in Santiago, is one of the five regional commissions of the United Nations. The review will seek to identify potential improvements in the management and administration practices in ECLAC within the framework of ongoing reform processes. It will focus on governance, organizational structure and executive management, information management, administration and oversight among others. While the present review is exclusively dedicated to an assessment of the current state of management and administration processes in ECLAC, it will also follow up on recommendations made in a 1994 Joint Inspection Unit report on efforts to restructure the regional dimension of the United Nations economic and social activities.

[16] Proposed by the Office of Internal Oversight Services and IAEA.

[17] Internal proposal.

Annex I

Composition of the Joint Inspection Unit

1. The composition of the Unit for 2010 was as follows (each member's term of office expires on 31 December of the year indicated in parentheses):

Gérard Biraud (France), Chairman (2015)
M. Mounir Zahran (Egypt), Vice-Chairman (2012)
Nikolay V. Chulkov (Russian Federation) (2012)
Papa Louis Fall (Senegal) (2015)
Even Fontaine Ortiz (Cuba) (2012)
Tadanori Inomata (Japan) (2014)
Istvan Posta (Hungary) (2015)
Enrique Roman-Morey (Peru) (2012)
Cihan Terzi (Turkey) (2015)
M. Deborah Wynes (United States of America) (2012)
Yishan Zhang (China) (2012)

2. In accordance with article 18 of its statute, which provides that each year the Unit shall elect from among its inspectors a Chairperson and Vice-Chairperson, on 1 December 2010 the Unit elected Inspector M. Mounir Zahran (Egypt) and Inspector Tadanori Inomata (Japan), respectively, for 2011.

Annex II

List of contributing organizations and their percentage share in the costs of the Joint Inspection Unit in 2010

United Nations[a]	15.3
United Nations Relief and Works Agency for Palestine Refugees in the Near East	2.9
Office of the United Nations High Commissioner for Refugees	5.4
World Food Programme	11.1
United Nations Development Programme	21.3
United Nations Population Fund	2.6
United Nations Office for Project Services	3.7
United Nations Children's Fund	11.4
International Labour Organization[b]	2.2
Food and Agriculture Organization of the United Nations	4.0
United Nations Educational, Scientific and Cultural Organization	2.5
International Civil Aviation Organization	1.1
World Health Organization[c]	10.9
Universal Postal Union	0.2
International Telecommunication Union	0.5
World Meteorological Organization	0.4
International Maritime Organization	0.3
World Intellectual Property Organization	1.0
United Nations Industrial Development Organization	0.9
World Tourism Organization	0.1
International Atomic Energy Agency	2.2

Source: CEB/2009/HLCM/FB/8, table 1.

[a] Apportionment includes United Nations Secretariat, UNEP, UNCTAD, UN-Habitat, ITC, UNITAR, and UNODC. Note that UNRWA and UNHCR, which are also Secretariat entities, are listed separately above, as their contributions are reflected separately in the CEB methodology.

[b] Includes also ITC/ILO.

[c] Includes UNAIDS.

Annex III

Consideration of Joint Inspection Unit system-wide reports issued between 2007 and 2010 by legislative bodies (based on available official documentation found on the organizations' websites)

			United Nations and its funds and programmes						Specialized agencies and IAEA													
Report	Short title	Sent for action	United Nations	UNDP	UNFPA	UNICEF	WFP	UNEP	ILO	FAO	UNESCO	ICAO	WHO	UPU	ITU	WMO	IMO	WIPO	UNIDO	UNWTO	IAEA	Total organizations not considering reports
JIU/REP/2007/1	Voluntary contribution	02.07.2007	■					■							■			■		■	■	6
JIU/REP/2007/2	UN staff medical coverage	06.07.2007	■					⊠							■			■		■	■	5
JIU/REP/2007/4	Age structure	28.06.2007						⊠							■			■		■	■	4
JIU/REP/2007/6	Knowledge management	06.11.2007						■							■			■		■	■	5
JIU/REP/2007/10	Liaison office	04.02.2008				⊠		■				⊠		⊠	⊠		⊠	■		■	■	4
JIU/REP/2007/12	HIV/AIDS	13.02.2008	■	■	■			⊠		⊠		⊠		⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	3
JIU/REP/2008/2	JPO programmes	22.12.2008	■					■				⊠		⊠	⊠	⊠	⊠	⊠	⊠	⊠		3
JIU/REP/2008/3	Review of environmental governance	24.02.2009			■					■		■			■		■	■		■	■	8
JIU/REP/2008/4	NEX of TC projects	24.02.2009						■				■			■			■		■	■	6
JIU/REP/2008/5	Review of ICT hosting services	24.02.2009						■							■			■		■	■	5
JIU/REP/2008/6	Management of Internet websites	24.02.2009						■							■			■		■	■	5
JIU/REP/2009/5	Coherence Support Africa	22/10/2009	■			•		■	■	■				■	■	■		■		■	■	10
JIU/REP/2009/6	Offshoring	03/11/2009	■			•	•	■	■	■		■		■	■	■		■		■	■	11
JIU/REP/2009/8	Executive Heads	10/02/2010	■			•	•	■	■	■	■	■			■	■		■	■	■	■	12
JIU/REP/2009/9	Special Representatives of the Secretary-General	12/05/2010	■	■	■	•	•	■	■	■	■	■		■	■	■	■	■	■	■	■	16
Total reports to be considered			15	15	15	14	15	12	15	14	15	12	15	12	12	13	12	13	13	13	14	
Total reports not considered			8	2	3	0	0	11	4	5	2	5	0	3	12	4	2	13	2	13	14	
Percentage of non-consideration			53	13	20	0	0	92	27	36	13	42	0	25	100	31	17	100	15	100	100	

Considered
• Report will be considered during January-February 2011
■ Not considered (yet)
⊠ Sent for information only

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Annex IV

Web-based tracking system for the follow-up of the recommendations of the Joint Inspection Unit: status of implementation

	Months												
	Feasibility Study (completed end of 2010)			Anticipated Implementation									
Project Plan	1	2	3	4	5	6	7	8	9	10	11	12	13
Feasibility study and Software Requirements													
Requirements revision and validation													
Business Requirements Sign-off													
Global elaboration. Design the Architecture.													
Test environment installation													
Development Lot 1 test and acceptance													
Development Lot 2, test and acceptance													
Development Lot 3 test and acceptance													
Production Environment preparations													
User Acceptance testing and Defects resolution													
Final regression testing and goes live													